

Department of Defense (DoD)
Forms & Reports Management Programs
Information Module

Administered by
Information Management Division
Directorate for Information Operations and Reports
Washington Headquarters Services

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Instructions & Information

- You will need acrobat reader to view some of the references available in this presentation
- Many references throughout this presentation will send you to other web sites within the Department of Defense (DoD)
- Use your browser's “**Back**” button when you want to view the previous slide
- To continue in this presentation, click on either program area listed below

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DoD Forms Management Program

Authority

Overview

Relationships

DoD Forms

DoD Component Forms

Liaison for Standard Forms

Liaison for Optional Forms

Clearance of Forms

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DoD Forms Management Program Authority

- Title 41, CFR, subpart 102-11.203
- [DoD Instruction 7750.7](#), “DoD Forms Management Program,” May 31, 1990
- [DoD 7750.7-M](#), “DoD Forms Management Program Procedures Manual,” August 1991

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DoD Forms Management Program Overview

- Applies to the creation, revision, consolidation, cancellation, distribution and use of forms
- Applies to processing and using exceptions to existing forms
- Applies to all media of forms, whether electronic or paper

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DoD Forms Management Program Overview

- Does not apply to forms:
 - Used exclusively for cryptological activities
 - With an annual usage of 100 or fewer
 - Used only once or as part of a survey
 - That are formats, as defined in DoD 7750.7-M
 - That are documents without spaces for entering data such as instructions, pamphlets and form letters

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DoD Forms Management Program

Relationships - Interaction With Other Programs

- Reports Management Program
- Privacy Program
- Postal Program

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DoD Forms Management Program

DoD Forms

- Department of Defense (DD) Forms are used by two or more DoD Components
- DD Forms are Approved by WHS/DIOR
- DD Forms may be adopted or prescribed
- DoD Component Forms Management Officers should:
 - Explore the possibility of using existing DD Forms before creating new DoD Component Forms
 - Identify opportunities for consolidating related similar DoD Component forms into DD Forms

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DoD Forms Management Program

DoD Component Forms

- DoD Component Forms are for use only within the given component organization as indicated by the form designation. For example, Department of the Army forms are identified by the form designator “DA”
- Depending on the size of the DoD Component’s Forms Management Program, there may be several levels of forms below the component level. These forms may be designated at the component’s command, installation or office level

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DoD Forms Management Program

DoD Component Forms

- Duplicate installation forms should be eliminated and a single command form established where common functionality of installation forms exists
- Common functionality among command forms should be explored for consolidation into DoD Component Forms

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DoD Forms Management Program

DoD Liaison for Standard Forms

- General Services Administration (GSA) is responsible for the Standard & Optional Forms Management Program
- WHS/DIOR is the DoD Standard & Optional Forms Liaison
- Mandated for use by all Federal Agencies
- Sponsored by the Federal Agency or Organization whose mission includes the function of the particular form
- Must be used as required. DoD or Component forms shall not be used in place of a Standard Form unless an exception is obtained from the GSA
- Use of a Standard Form is mandated by a prescribing directive, regulation or law

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DoD Forms Management Program

DoD Liaison for Optional Forms

- GSA is responsible for the Standard & Optional Forms Management Program
- WHS/DIOR is the DoD Standard & Optional Forms Liaison
- Developed by a Federal Agency for use in two or more Agencies and approved by the GSA for non-mandatory Government-wide use
- DoD Components may use a DD or DoD Component Form in place of an Optional Form
- Changes to Optional Forms must be approved by the GSA if the Optional Form number remains on the form

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DoD Forms Management Program

Clearance of Forms

- Refer to [DoD 7750.7-M](#) for complete instructions on the DoD Forms Management Program
- Submit [DD67](#), “Form Processing Action Request” for revisions, exceptions and submission of DD forms.
- Contact the appropriate [DoD Component Forms Management Officer](#) for guidance

- End of Forms Management -

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Reports Management Program

- The DoD Reports Management Program includes requirements that survey or impose reporting requirements on military members, DoD civilian employees and members of the public.
- The program is authorized by [DoD Directive 8910.1](#), “Management and Control of Information Requirements,” June 11, 1993
- The program is implemented by [DoD 8910.1-M](#), “DoD Procedures for Management of Information Requirements,” June 30, 1998
- To obtain further information, please refer to the section of this presentation entitled “[DoD Reports Management Program](#).”

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DoD Privacy Office

- The Defense Privacy Office maintains a listing of DoD Component Privacy Act Points of Contact and a listing of the DoD Privacy Act System Notices
- [DoD Directive 5400.11](#), “DoD Privacy Program,” December 13, 1999 provides additional guidance
- To obtain further information, please contact

Office of the Secretary of Defense
Defense Privacy Office
400 Army Navy Drive
Arlington, VA 22202-2884
TEL: 703-614-3027 DSN: 224-3027
FAX: 703-693-6679

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DoD U. S. Postal Service (USPS)

Forms Requirements

- Forms used as mailers must be designed to meet the USPS requirements and specifications
- [DoD 4525.8-M](#) provides the policy and procedures on DoD mail
- To obtain further information, please contact

Military Postal Service Agency
Leonard A. Bartels
2461 Eisenhower Ave., Suite 812
Alexandria, VA 22331-0006
TEL: 703-325-0674 DSN: 221-0674
FAX: 703-325-9534

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DoD Reports Management Program

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DoD Reports Management Authority

- Authority
 - [DoD Directive 8910.1](#), “Management and Control of Information Requirements,” June 11, 1993
 - Implemented by [DoD 8910.1-M](#), “DoD Procedures for Management of Information Requirements,” June 30, 1998

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DoD Reports Management

General Information

- The Reports Management Program authorizes the establishment and licensing of new information requirements and the revision or cancellation of existing requirements
- Information requirements include statistical and attitude/opinion surveys, Congressional, public, interagency and internal DoD information requirements
- [DoD Web Policy](#) provides guidance on collections of information via the Internet

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DoD Reports Management

General Information

- Collection mechanisms
 - [Forms](#) - Review the section regarding Forms Management of this presentation.
 - [Reports](#) - There are different approval processes for each type of report/information collection
 - [Surveys](#) - Review the section regarding surveying members of the public, military members or DoD civilians
- [Students](#) collecting information from DoD are not subject to the requirements of DoD Directive 8910.1, “Management and Control of Information Requirements,” June 11, 1993 or DoD 8910.1-M, “DoD Procedures for Management of Information Requirements,” June 30, 1998

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DoD Reports Management

Survey Approval Requirements

- Policies and procedures for “Surveys of DoD Personnel” are implemented by [DoD Instruction 1100.13](#)
- Surveys of DoD personnel by non-governmental sources are neither encouraged nor discouraged.
- Contact DMDC for review and approval of non-operational opinion & attitude questionnaires. For more information, please contact:

Defense Manpower Data Center
Survey & Program Evaluation Division
1600 North Wilson Boulevard, Suite 400
Arlington, VA 22209
TEL: 703-696-5858 DSN: 426-5858
FAX: 703-696-5822 DSN: 426-5822

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DoD Reports Management Students

- Active duty military personnel and current status civilians are considered students when they are attending an academic institution
- Students are not required or expected to obtain a report control symbol to conduct a study or survey
- DMDC may offer comments on opinion and attitude surveys and provide access to samples
- [Current Listing of Active Surveys](#)

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DoD Reports Management

Reports Management Program

- Types of Reports/Information Collections
 - Public - When DoD Component collects information from members of the public
 - Internal - When a DoD Component collects information from another DoD Component
 - Interagency - When a DoD Component collects information from a other Federal agencies
 - Congressional - When a Congressional committee, focus group, board or study group collects info information from Federal agencies

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DoD Reports Management

Public Information Collections

- Chapter 3 of DoD 8910.1-M issues the procedures to obtain OMB approval to collect information from the public and the requirement to provide to the responding public, either orally or in writing, an agency disclosure notice
- Public use reports
 - Required by P.L. 104-13, “Paperwork Reduction Act of 1995”
 - OMB driven
 - OMB, internal, & public review
- Current listing of DoD Public Information Collections

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DoD Reports Management

Public Information Collections

- Public information collections are those that require responses from members of the public
- Public information collections are subject to Office of Management and Budget (OMB) review and clearance in accordance with Title 5 CFR 1320 and Public Law 104-13, “The Paperwork Reduction Act of 1995” (Chapter 35, Title 44 USC), as amended
- Notify the respondents that they do not need to respond if the OMB number is not displayed or is expired

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DoD Reports Management

Public Information Collections

- Members of the public are considered to be individuals, households, private firms, companies, contractors, federal employees in special circumstances, and others
- Current Federal civilian employees and military personnel are considered to be members of the public, if the collection is addressed to them as private citizens. (e.g. The IRS tax forms, census)

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DoD Reports Management

Public Information Collections

- To obtain approval to collect information from members of the public you must:
 - Coordinate with the DoD Clearance Officer and submit the following documentation:
 - Supporting Statement (Sample)
 - OMB Form 83-I, “Paperwork Reduction Act Submission”
 - 60-Day Federal Register Notice
 - 30-Day Federal Register Notice
 - Copy of Authority for the Collection
 - Instrument of Collection
- General Flowchart of the Process

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DoD Reports Management

Internal Reports

- Program required by [DoD Directive 8910.1](#) dated June 11, 1993 implements FMR Part 102.195
- [Chapter 4](#) of [DoD 8910.1-M](#) issues the guidance for one DoD component collecting information from one or more other DoD components
- WHS/DIOR is responsible for maintaining an inventory of those collections imposed on the DoD Components

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DoD Reports Management

Internal Reports

- One time reports are reviewed upon expiration
- Recurring reports reviewed individually every three years
- [Current listing of DoD Internal Reports](#)
- [Internal reports control trends](#)
- [General flowchart of the approval process](#)

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DoD Reports Management

Internal Reports

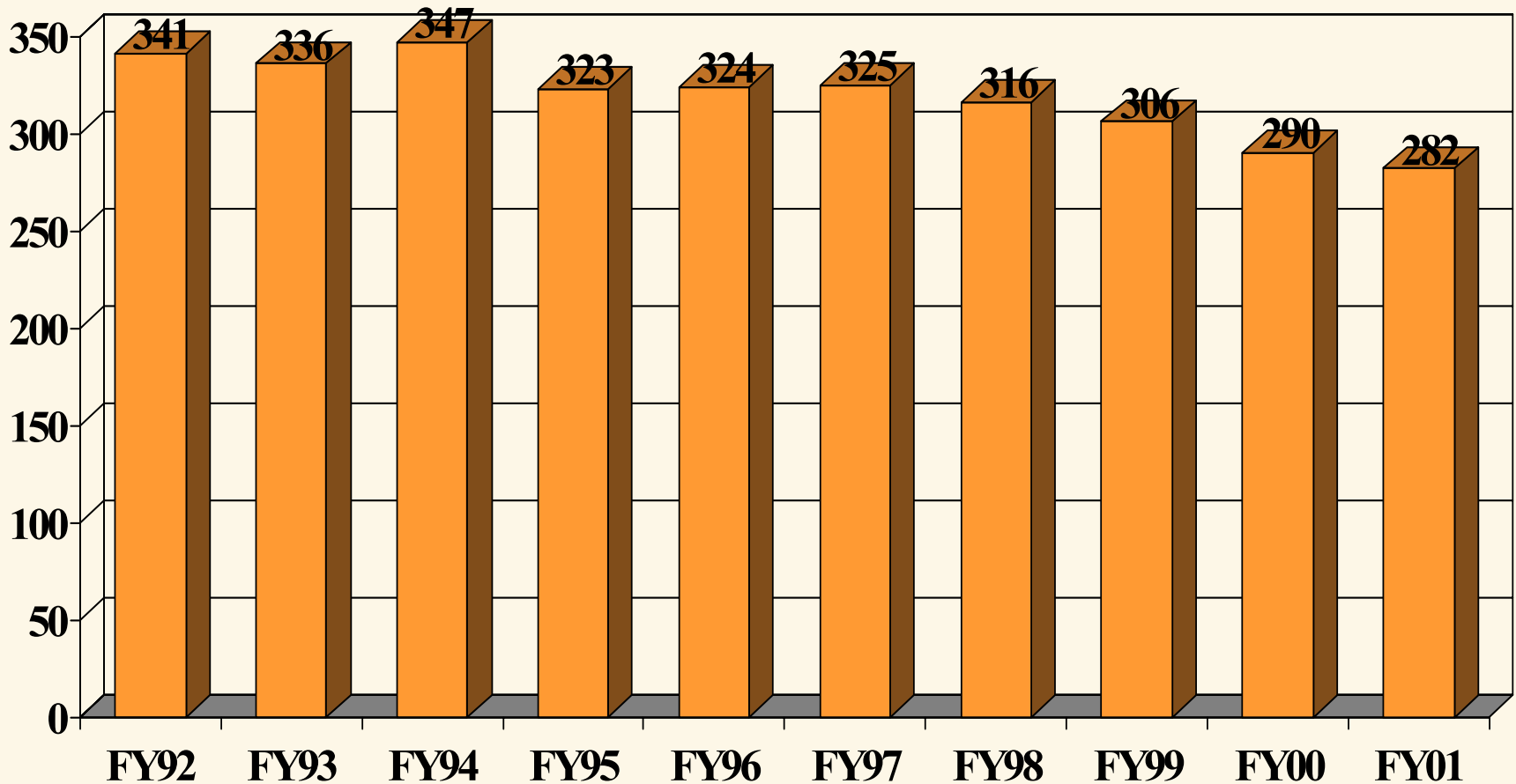
- Internal reporting clearance requirements:
 - [SD Form 455](#), “Request for Approval of Information Collection”
 - Prepare a cost estimate
 - Supporting documentation requiring the information collection
 - Submit through the [DoD Component Information Management Control Officer](#) (IMCO)
- The IMCO will notify the requester of the Report Control Symbol assignment and the expiration date

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DoD Reports Management

Internal Reports



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DoD Reports Management

Interagency Reports

- FMR 102-195 implements 44 USC Chapters 29 & 31
- Interagency reporting is managed by General Services Administration
- DoD is the office of primary responsibility for 5 interagency collections and responds to 137 collections imposed by other Federal agencies
- [Current listing of DoD Interagency Reports](#)

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DoD Reports Management

Interagency Reports

- [Chapter 5](#) of [DoD 8910.1-M](#) issues the guidance for the exchange of information or data among federal agencies
- Interagency requirements reported to General Services Administration IAW FMR Part 102-195
- Does not apply to customer satisfaction surveys conducted under E.O. 12862, “Setting Customer Service Standards”

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DoD Reports Management

Interagency Reports

- Interagency reporting submission requirements:
 - Use [Standard Form 360](#), “Request to Approve an Interagency Reporting Requirement”
 - Available supporting documentation requiring the information collection
 - Coordinate with and submit documentation to the [DoD Component Information Management Control Officer](#) for your organization

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DoD Reports Management

Interagency Reports

- Interagency reporting notification
 - General services administration will assign an interagency report control number valid for three years
 - GSA will notify the DoD Interagency Liaison Coordinator
 - The coordinator will notify the requesting organization
 - The Interagency Reports Management Program is undergoing major changes. Federal Register Notices have been published. Comments have been received.

[On to Congressional Reports](#)

DoD Reports Management

Congressional Reports

- Congressionally Mandated Reports Inventory
 - Extracted from annual National Defense Authorization, Appropriations and Military Construction Acts
 - Reconciled biennially with Title 10 Committee Print
 - One-time reports and conference reports are not tracked
- Recurring Reports
 - By Title of the United States Code
 - All Codified Reporting Requirements

- End of Reports Management -

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DoD Reports Management Program

Congressional Reports by Title of the U.S. Code

- | | |
|------------------------------------------------|--------------------------------------------------------|
| <u>5</u> - Government Organization & Employees | <u>36</u> - Patriotic Societies & Observances |
| <u>10</u> - Armed Forces | <u>37</u> - Pay & Allowances of the Uniformed Services |
| <u>14</u> - Coast Guard | <u>38</u> - Veterans' Benefits |
| <u>16</u> - Conservation | <u>40</u> - Public Buildings, Property & Works |
| <u>18</u> - Crimes & Criminal Procedure | <u>41</u> - Public Contracts |
| <u>22</u> - Foreign Relations & Intercourse | <u>42</u> - Public Health & Welfare |
| <u>24</u> - Hospitals & Asylums | <u>49</u> - Transportation |
| <u>30</u> - Mineral Lands & Mining | <u>50</u> - War & National Defense |
| <u>31</u> - Money & Finance | <u>Index</u> - Index of All DoD CMRs |
| <u>32</u> - National Guard | <u>All</u> - All Titles of the U. S. Code |
| <u>33</u> - Navigation & Navigable Waters | |

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